

AMENDMENT OF SOLICITATION/MODIFICATION OF CONTRACT				1. CONTRACT ID CODE J		PAGE OF PAGES 1 41	
2. AMENDMENT/MODIFICATION NO. 0001		3. EFFECTIVE DATE 26-Oct-2016		4. REQUISITION/PURCHASE REQ. NO.		5. PROJECT NO.(If applicable)	
6. ISSUED BY USACE SACRAMENTO DISTRICT ATTN: CONTRACTING DIVISION 1325 J STREET SACRAMENTO CA 95814-2922		CODE W91238		7. ADMINISTERED BY (If other than item 6) See Item 6			
8. NAME AND ADDRESS OF CONTRACTOR (No., Street, County, State and Zip Code)				<input checked="" type="checkbox"/> X		9A. AMENDMENT OF SOLICITATION NO. W91238-16-R-0049	
				<input checked="" type="checkbox"/> X		9B. DATED (SEE ITEM 11) 28-Sep-2016	
						10A. MOD. OF CONTRACT/ORDER NO.	
						10B. DATED (SEE ITEM 13)	
CODE		FACILITY CODE					
11. THIS ITEM ONLY APPLIES TO AMENDMENTS OF SOLICITATIONS							
<input checked="" type="checkbox"/> X The above numbered solicitation is amended as set forth in Item 14. The hour and date specified for receipt of Offer <input type="checkbox"/> is extended, <input checked="" type="checkbox"/> is not extended. Offer must acknowledge receipt of this amendment prior to the hour and date specified in the solicitation or as amended by one of the following methods: (a) By completing Items 8 and 15, and returning <u>1</u> copies of the amendment; (b) By acknowledging receipt of this amendment on each copy of the offer submitted; or (c) By separate letter or telegram which includes a reference to the solicitation and amendment numbers. FAILURE OF YOUR ACKNOWLEDGMENT TO BE RECEIVED AT THE PLACE DESIGNATED FOR THE RECEIPT OF OFFERS PRIOR TO THE HOUR AND DATE SPECIFIED MAY RESULT IN REJECTION OF YOUR OFFER. If by virtue of this amendment you desire to change an offer already submitted, such change may be made by telegram or letter, provided each telegram or letter makes reference to the solicitation and this amendment, and is received prior to the opening hour and date specified.							
12. ACCOUNTING AND APPROPRIATION DATA (If required)							
13. THIS ITEM APPLIES ONLY TO MODIFICATIONS OF CONTRACTS/ORDERS. IT MODIFIES THE CONTRACT/ORDER NO. AS DESCRIBED IN ITEM 14.							
A. THIS CHANGE ORDER IS ISSUED PURSUANT TO: (Specify authority) THE CHANGES SET FORTH IN ITEM 14 ARE MADE IN THE CONTRACT ORDER NO. IN ITEM 10A.							
B. THE ABOVE NUMBERED CONTRACT/ORDER IS MODIFIED TO REFLECT THE ADMINISTRATIVE CHANGES (such as changes in paying office, appropriation date, etc.) SET FORTH IN ITEM 14, PURSUANT TO THE AUTHORITY OF FAR 43.103(B).							
C. THIS SUPPLEMENTAL AGREEMENT IS ENTERED INTO PURSUANT TO AUTHORITY OF:							
D. OTHER (Specify type of modification and authority)							
E. IMPORTANT: Contractor <input type="checkbox"/> is not, <input type="checkbox"/> is required to sign this document and return _____ copies to the issuing office.							
14. DESCRIPTION OF AMENDMENT/MODIFICATION (Organized by UCF section headings, including solicitation/contract subject matter where feasible.) The purpose of this amendment is to: A. Incorporate the revised pages as follows: Page 5 of Section 00 73 05, Page 2 of Section 01 11 00; Page 7 of Section 01 22 00.00 10; Page 9 of Section 01 22 00.00 10; Page 11 of Section 01 22 00.00 10. These revised pages supercede any previous version of these documents. B. Incorporate a revised CLIN 0001 Exhibit A which supercedes any previous version. C. Incorporate revised Sheet Reference Number: C-304 Sheet 54 of 136 which supercedes any previous version. D. Incorporate Fehr and Peers Traffic Analysis E. Incorporate American River Common Features Natomas Basin Reach I Geotechnical Data Report dated 7/30/2011. F. Section 00 22 00 - Supplementary Instructions: Paragraph 5.2: REPLACE "The overall page limit for the technical proposal is 50 double-sided pages..." WITH "The overall page limit for the technical proposal is 64 double-sided pages not counting required geotechnical data or the past performance questionnaires..." Continued on another sheet							
Except as provided herein, all terms and conditions of the document referenced in Item 9A or 10A, as heretofore changed, remains unchanged and in full force and effect.							
15A. NAME AND TITLE OF SIGNER (Type or print)				16A. NAME AND TITLE OF CONTRACTING OFFICER (Type or print)			
				TEL: _____ EMAIL: _____			
15B. CONTRACTOR/OFFEROR _____ (Signature of person authorized to sign)		15C. DATE SIGNED		16B. UNITED STATES OF AMERICA BY _____ (Signature of Contracting Officer)		16C. DATE SIGNED 26-Oct-2016	

SECTION SF 30 BLOCK 14 CONTINUATION PAGE

SECTION - CONTRACT LINE ITEM NUMBER (CLIN) SCHEDULE

SUMMARY OF CHANGES

SECTION 00 01 10 - TABLE OF CONTENTS

The Table of Contents has changed from:

Exhibit/Attachment Table of Contents

DOCUMENT TYPE	DESCRIPTION	PAGES	DATE
Exhibit A	CLIN 0001 Exhibit(s)	1	
Attachment 1	List of Drawings	6	
Attachment 2	Supplementary Condition Requirements for Reach 1 Contract 1	32	
Attachment 3	Specifications	485	
Attachment 4	Natomas Basin Reach I Contract 1 Design Plans	142	02-SEP-2016
Attachment 5	Davis Bacon Wage Determination	45	26-AUG-2016

to:

Exhibit/Attachment Table of Contents

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Exhibit A	CLIN 0001 Exhibit(s)	1	
Attachment 01	List of Drawings	6	
Attachment 02	Supplementary Condition Requirements for Reach 1 Contract 1	32	
Attachment 03	Specifications	485	
Attachment 04	Natomas Basin Reach I Contract 1 Design Plans	142	02-SEP-2016
Attachment 05	Davis Bacon Wage Determination	45	26-AUG-2016
Attachment 06	Page 5 from Section 00 73 05	1	17-OCT-2016
Attachment 07	Page 2 from Section 01 11 00	1	17-OCT-2016
Attachment 08	Page 7 from Section 01 22 00.00 10	1	17-OCT-2016
Attachment 09	Page 9 from Section 01 22 00.00 10	1	17-OCT-2016
Attachment 10	Page 11 from 01 22 00.00 10	1	17-OCT-2016
Attachment 11	Revised Sheet Reference Number C-304 Sheet 54 of 136	1	10-OCT-2016
Attachment 12	Fehr & Peers Traffic	464	18-JUL-2016

Attachment 13	Analysis	
Attachment 14	Geotechnical Data Report 883	30-JUL-2011
	AMD 01 SF30 Block 14 1	19-OCT-2016
	Continuation	

SECTION 00 22 00 - SUPPLEMENTARY INSTRUCTIONS

The following have been modified:

SUPPLEMENTARY INSTRUCTIONS

1. OVERVIEW

This is a "Best Value" solicitation for the construction of improvements to the Natomas Basin Levee at Reach I in Sacramento, CA. The Contracting Officer will award a firm fixed-price contract to that responsible Offeror whom the Source Selection Authority determined conforms to the solicitation, is fair and reasonable, and offers the best overall value to the Government, considering all non-price factors described herein, and price.

2. BASIS OF AWARD

2.1. ELIGIBILITY FOR CONTRACT AWARD

In accordance with the requirements of Part 9 of the Federal Acquisition Regulation (FAR), no contract shall be entered into unless the Contracting Officer ensures that all requirements of law, executive orders, regulations, and all other applicable procedures, including clearances and approvals, have been met. This includes the FAR requirement that no award shall be made unless the Contracting Officer makes an affirmative determination of responsibility. To be determined responsible, a prospective contractor must meet the general standards in FAR Part 9 and any special standards set forth in the solicitation.

2.2. SOURCE SELECTION USING THE TRADE-OFF PROCESS

The Government will select the offer that represents the best value to the Government by using the trade-off process described in FAR Part 15. This process permits tradeoffs between price and technical ("non-price") factors and allows the Government to accept other than the lowest priced offer. The award decision will be based on a comparative analysis and an integrated assessment of proposals against all source selection criteria in the solicitation.

2.3. RELATIVE IMPORTANCE OF PRICE TO THE TECHNICAL EVALUATION FACTORS

All evaluation factors other than price, when combined, weighted more heavily than cost/price. The Government is concerned with striking the most advantageous balance between technical merit (i.e., quality) and cost to the Government (i.e., the price). The degree of importance of price could become greater depending upon the equality of the technical proposals. If competing technical proposals are determined to be essentially equal, price could become the controlling factor.

2.4. EVALUATION OF THE PRICE PROPOSAL

a. Price to the Government will be evaluated and considered but will not be scored or combined with other aspects of the proposal evaluation. The proposed price will be analyzed for reasonableness. It may also be analyzed to determine whether it reflects a clear understanding of the requirements; and is consistent with the offeror's Technical Proposal. Additionally, all offers will be analyzed for unbalanced pricing.

b. The Price Evaluation Adjustment for Small Disadvantaged Businesses will not apply to this procurement as it is currently suspended for the Department of Defense.

c. Information required to be submitted in the Price Proposal volume in addition to the executed SF 1442 with acknowledgement of amendments and the completed CLIN schedule will be used to determine the offeror's eligibility for contract award in accordance with paragraph 2.1 above (for example, the work breakdown structure, the offeror's representations and certifications; the bid guarantee; and the offeror's pre-award survey information). The Government may enter into exchanges with offerors about such information without it constituting discussions, subject to applicable FAR limitations, including FAR 15.306, Exchanges with offerors after receipt of proposals.

2.5. TECHNICAL EVALUATION FACTORS

The Government will evaluate each offeror's technical proposal based on how well the proposal addresses each of the evaluation factors, listed below, and on how well the offeror has performed on related projects through the evaluation of the past performance information provided from references or obtained from other sources. Each of the evaluation factors will be evaluated by the Government and an adjectival rating and risk rating will be determined by consensus of the Government evaluation board for all technical factors other than past performance. The Past Performance factor will be evaluated by the Government and a relevancy and confidence level will be determined by consensus of the Government evaluation board.

The evaluation factors correlate directly to the main organizational tabs identified in the proposal submission instructions.

Technical Proposal

- (1) Factor 1: Experience and Capability
- (2) Factor 2: Technical Approach
- (3) Factor 3: Past Performance
- (4) Factor 4: Small Business Participation

2.6. RELATIVE WEIGHTING OF THE TECHNICAL EVALUATION FACTORS

The Technical Evaluation Factors are listed below in descending order of importance, as follows:

Factor 1 – Experience and Capability is the most heavily weighted factor.

Factor 2 – Technical Approach is weighted less than Factor 1.

Factor 3 – Past Performance is weighted less than Factor 2.

Factor 4 – Small Business Participation is weighted less than Factor 3.

2.7. GENERAL TECHNICAL EVALUATION CRITERIA

a. The offeror's conformance with the specified format and submission requirements will be considered during the technical evaluation. Failure to comply with the formatting and/or submission requirements may be seen as indicative of the type of problems that could be expected during contract performance. Lack of conformance could therefore result in a higher risk assessment, in addition to any other impacts on the evaluation. Material omission(s) may cause the technical proposal to be rejected as unacceptable. However, in accordance with FAR 52.215-1, the Government may waive informalities and minor irregularities in proposals. For example, a failure by a proposed key subcontractor to submit a properly executed letter of commitment may be considered as increasing risk, but will not be considered a proposal deficiency._

b. Technical proposals which do not provide the specified information in the specified location in accordance with the submission instructions may be downgraded. The Government is under no obligation to search for information that is not in the specified location.

c. Proposals which are generic, vague, or lacking in detail may be downgraded. The proposal submission instructions are written to give prospective contractors, where feasible, an indication of the level of detail desired by the Government. The offeror's failure to include information that the Government has indicated should be included may result in the proposal being downgraded and/or being found deficient if inadequate detail is provided.

d. Any prescribed page and formatting limitations will be strictly adhered to and enforced by the Government. The Government will not evaluate any excess information resulting from the offeror's failure to comply with the submission instructions. Examples: If an offeror were to submit three pages in response to an item with a two page limitation, the information on the first two pages would be evaluated but the information on the third page would not be evaluated. If an offeror were to submit a fold-out sheet (e.g. 11"x17") in response to a one-page limitation where fold-out sheets were not authorized, only the information that could reasonably have been submitted on one 8-1/2 x 11 inch sheet would be evaluated. If an offeror were to submit three 8-1/2 x 11 inch pages in response to a one not-to-exceed 11 x 17 inch page limitation, only the information that could reasonably have been submitted on one 11 x 17 inch sheet would be evaluated. If an offeror submitted alternates that were not requested (e.g., key personnel), the information will not be evaluated.

e. The degree of risk to the Government inherent in the offeror's technical proposal will be a consideration under every evaluation factor, with the exception of past performance, which will be evaluated as Past Performance Confidence Assessment.

f. A "deficiency" is a material failure of a proposal to meet a Government requirement or a combination of significant weaknesses in a proposal that increases the risk of unsuccessful contract performance to an unacceptable level. "Weakness" means a flaw in a proposal that increases the risk of unsuccessful contract performance. A "significant weakness" is a proposal flaw that appreciably increases the risk of unsuccessful contract performance. The Government cannot accept an offer with a deficiency in its technical proposal. The term "acceptable" is therefore used in this context to describe a technical proposal that does not contain a deficiency and thus could be accepted by the Government, notwithstanding any weaknesses or significant weaknesses in the proposal.

g. The Government cannot make award based on a deficient offer. Therefore, a rating of "Unacceptable" under any factor will render the offer ineligible for award, unless the Government elects to enter into discussions with that offeror and all deficiencies are remedied in a revised proposal.

h. Failure of a proposed subcontractor to furnish authorization for the Government to discuss its past performance with the offeror will not be considered a proposal deficiency. However, the Government will not be able to disclose to the offeror any details pertaining to their performance problems that may contribute to a lower overall rating.

i. Past Performance Evaluation. The past performance evaluation results in an assessment of the offeror's probability of meeting the solicitation requirements. The past performance evaluation considers each offeror's demonstrated recent and relevant record of performance in supplying products and services that meet the contract's requirements. One performance confidence assessment rating is assigned for each offeror after evaluating the offeror's recent past performance, focusing on performance that is relevant to the contract requirements.

There are three aspects to the past performance evaluation: recency, relevancy (including context of data), and quality (including general trends in contractor performance and source of information).

Recency. The first is to evaluate the recency of the offeror's past performance. Recency is generally expressed as a time period during which past performance references are considered relevant, and is critical to establishing the relevancy of past performance information.

Relevance. The second is to determine how relevant a recent effort accomplished by the offeror is to the effort to be acquired through the source selection. Common aspects of relevancy include, include but are not limited to, the following: similarity of product/service/support, complexity, dollar value, contract type, use of key personnel and extent of subcontracting/teaming.

There are four levels of relevancy as shown in the Past Performance Relevancy Ratings below.

~~There are two aspects to the past performance evaluation. The first is to evaluate the offeror's past performance to determine how relevant a recent effort accomplished by the offeror is to the effort to be acquired through the source selection. Relevancy is determined during the evaluation for Factor 1 Experience and Capabilities based on example projects submitted for that factor. The second aspect of the past performance evaluation is to determine how well the contractor performed on the example projects submitted for Factor 1 Experience and Capability. The~~

W91238-16-R-0049

~~Government will review this past performance information and determine the quality and usefulness as it applies to performance confidence assessment.~~

1. Past Performance Relevancy Ratings

RATING	DESCRIPTION
Very Relevant	Present/past performance effort involved essentially the same scope and magnitude of effort and complexities this solicitation requires.
Relevant	Present/past performance effort involved similar scope and magnitude of effort and complexities this solicitation requires.
Somewhat Relevant	Present/past performance effort involved some of the scope and magnitude of effort and complexities this solicitation requires.
Not Relevant	Present/past performance effort involved little or none of the scope and magnitude of effort and complexities this solicitation requires.

2. **Quality of Products or Services:** The third aspect of the past performance evaluation is to establish the overall quality of the offeror's past performance (see FAR 15.304(c)(2)). Past Performance Confidence Assessments - In conducting a performance confidence assessment, each offeror shall be assigned one of the ratings in the table below:

RATING	DESCRIPTION
Substantial Confidence	Based on the offeror's recent/relevant performance record, the Government has a high expectation that the offeror will successfully perform the required effort.
Satisfactory Confidence	Based on the offeror's recent/relevant performance record, the Government has a reasonable expectation that the offeror will successfully perform the required effort.
Limited Confidence	Based on the offeror's recent/relevant performance record, the Government has a low expectation that the offeror will successfully perform the required effort.
No Confidence	Based on the offeror's recent/relevant performance record, the Government has no expectation that the offeror will be able to successfully perform the required effort.
Unknown Confidence (Neutral)	No recent/relevant performance record is available or the offeror's performance record is so sparse that no meaningful confidence assessment rating can be reasonably assigned.

j. Combined Technical/Risk Rating for other than past performance.

Color Rating	Adjectival Rating	Description
Blue	Outstanding	Proposal indicates an exceptional approach and understanding of the requirements and contains multiple strengths, and risk of unsuccessful performance is low.
Purple	Good	Proposal indicates a thorough approach and understanding of the requirements and contains at least one strength, and risk of unsuccessful performance is low to moderate.
Green	Acceptable	Proposal meets requirements and indicates an adequate approach and understanding of the requirements, and risk of unsuccessful performance is no worse than moderate.

Yellow	Marginal	Proposal has not demonstrated an adequate approach and understanding of the requirements, and/or risk of unsuccessful performance is high.
Red	Unacceptable	Proposal does not meet requirements of the solicitation, and thus, contains one or more deficiencies, and/or risk of unsuccessful performance is unacceptable. Proposal is unawardable.

3 GENERAL SUBMISSION REQUIREMENTS AND INSTRUCTIONS.

3.1 GENERAL INSTRUCTIONS.

3.1.1 Media, Page Size, Margins, Fonts, and Page Limitations.

Submit only the hard-copy paper documents and electronic files specifically authorized elsewhere in this section. Do not submit excess information, to include audio-visual materials, electronic media, etc. Do not include links to information on websites in lieu of incorporating the information physically into the proposal. Except where another size is specifically authorized for a specific submission, use only 8 1/2" x 11" paper. Use at least 1 inch margins, which may include headers and footers. Do not justify the right margin. Ensure that all text and graphics are clearly legible. Do not use a font size smaller than 10, unusual font styles such as script, or condensed fonts. For submissions with page limitations, the pages will be counted as follows: One side of the paper is one page; information on both the back and front of one sheet of paper will be counted as two pages. Where authorized, a foldout sheet will count as one page. Pages furnished for organizational purposes only, such as a "Table of Contents" or divider tabs, are excluded from page limitations.

3.1.2 Proposal Binding.

The preferred method for assembling proposals is a method that enables the rapid insertion or deletion of pages such as three ring binders. Ensure recommended capacity is not exceeded and that pages turn freely. Do not use spring clamps, spiral binding systems, or heat binding systems.

3.1.3 Conditioning of Offer.

Do not include exceptions to the terms and conditions of the solicitation in either the technical or price proposal volumes. Inclusion of any standard company terms and conditions that conflict with the terms and conditions of the solicitation may result in a determination that the offer is unacceptable and thus ineligible for award. Resolve questions about the terms and conditions or technical requirements of the solicitation prior to submission of the offer; see "Inquiries", located in Section 00 21 16, for points of contact. Notwithstanding the above, the offeror must clearly describe in the proposal cover sheet submitted with the volume any exceptions, within the offer, to the contractual and/or technical terms and conditions of the solicitation.

3.1.4 Restrictions on Offeror-Provided Information.

"Confidential" projects cannot be submitted to demonstrate capability unless all of the information required for evaluation as specified herein can nonetheless be provided to the Government as part of the offeror's technical proposal. Offerors that include in their proposals information that they do not want disclosed to the public for any purpose, or used by the Government except for evaluation purposes, must clearly mark the information in accordance with FAR 52.215-1, "Instructions to Offeror – Competitive Acquisition", paragraph (e), "Restriction on disclosure and use of data". Files shall not contain classified data.

3.2 REQUIREMENT FOR SEPARATE PRICE AND TECHNICAL PROPOSAL VOLUMES.

Each offeror must submit both a “price proposal” volume and a “technical proposal” volume. The price proposal includes the signed offer and the offeror’s proposed prices. The technical proposal includes all required information relating to the “non-cost” evaluation factors. The two volumes must be submitted as separate, physically distinct volumes. Both volumes must be received at the location shown in Block 8 of Standard Form 1442, not later than the date and time specified in Block 13 of Standard Form 1442. The information in the two volumes is evaluated separately and independently. Therefore, all information intended by the offeror to be evaluated as part of the price proposal must be submitted as part of the price proposal. All information intended by the offeror to be evaluated as part of the technical proposal must be submitted as part of the technical proposal. Do not merely cross-reference similar material between the technical and price proposals. Information in the price proposal will not be considered in the technical evaluation, and vice versa.

3.2.1 Marking of Proposal Volumes.

Mark each volume as either the “Price Proposal” or the “Technical Proposal”. Additionally, mark the outside front cover of each volume with the project title and location, solicitation number, name and address of the offeror, and volume copy number. (Markings which identify the offeror are not required on either the back cover or on the spine/binding.)

3.2.2 Tabbing of Proposal Volumes.

Offers are to be formatted and tabbed in accordance with the instructions that follow for each proposal volume.

3.2.3 Table of Contents.

Include a table of contents for each proposal volume.

4 PRICE PROPOSAL VOLUME.

4.1 NUMBER OF SETS OF THE PRICE PROPOSAL.

Submit the original (no copies) of the price proposal volume.

4.2 FORMAT, CONTENTS, AND LIST OF TABS FOR THE PRICE PROPOSAL.

Use only 8-1/2” x 11” pages. There are no page limits for the price proposal; however, limit responses to required information. Excess information will not be evaluated. Organize your price proposal as indicated below. If a tab is not applicable to your proposal, omit that tab but do not renumber the subsequent tabs.

PRICE PROPOSAL VOLUME

TAB CONTENTS OF THE PRICE PROPOSAL

- | | |
|---|---|
| 1 | Proposal Cover Sheet |
| 2 | SF 1442; Acknowledgement of Amendments; (Joint Venture Agreement (if applicable)) |
| 3 | CLIN Schedule |
| 4 | Representations and Certifications |
| 5 | Offer Guarantee |
| 6 | Pre-Award Survey Information |

4.3 DETAILED SUBMISSION REQUIREMENTS FOR THE PRICE PROPOSAL.

Tab 1 of the Price Proposal: Proposal Cover Sheet.

The proposal cover sheet is required by FAR 52.215-1 (c)(2). This provision, titled “Instructions to Offerors – Competitive Acquisition” is provided in full text in Section 00 21 00. The format and content for the proposal cover sheet follows:

PROPOSAL COVER SHEET

1. Solicitation Number:
2. The name, address, DUNS number, telephone numbers and email addresses of the offeror.
3. A statement specifying the extent of agreement with all terms, conditions, and provisions included in the Solicitation and agreement to furnish any or all items upon which prices are offered at the price set opposite each item.
4. Names, titles, email addresses, and telephone numbers of persons authorized to negotiate on the offeror’s behalf with the Government in connection with this solicitation:
5. Name, title, and signature of person authorized to sign the proposal. Proposals signed by an agent shall be accompanied by evidence of that agent’s authority.

(End of Proposal Cover Sheet)

Tab 2 of the Price Proposal: SF 1442; Acknowledgement of Amendments; Joint Venture Agreement.

The Standard Form (SF) 1442 must be completed by the offeror and duly executed with an original signature by the official(s) identified in the proposal cover sheet as authorized to bind the offeror in accordance with FAR 4.102, which includes specific instructions pertaining to individuals, partnerships, corporations, Joint Venture participants, and agents. Include the offeror’s DUNS number in block 14 of the SF 1442, along with the offeror’s address. All amendments must be acknowledged in accordance with the instructions on the Standard Form 30, Amendment. If the offeror is a Joint Venture (JV), include a copy of the JV agreement and indicate its status. (Note: It is preferred, but not required, that you use a document protector in lieu of punching holes in the original SF 1442.)

Tab 3 of the Price Proposal: CLIN Schedule.

Submit the completed CLIN Schedule with the offeror’s proposed contract prices inserted in the appropriate spaces. Prices must be proposed for all contract line items. Unit prices must be extended to the actual “dollar and cents” amounts (i.e., to two decimal places). Do not round off the extended prices to the nearest dollar. Check your pricing submission very carefully for mathematical and clerical errors prior to submission. Any qualification of pricing may render the proposal unacceptable and therefore not eligible for award. (Note: It is preferred, but not required, that you use a document protector in lieu of punching holes in the completed “original” CLIN schedule.)

Tab 4 of the Price Proposal: Representations and Certifications.

The offeror must have electronically completed the annual representations and certifications on the System for Award Management (SAM) website in accordance with FAR 52.204-8. The offeror is responsible for ensuring that these on-line Representations and Certifications are updated as necessary to reflect changes, but at least annually to ensure that they are kept current, accurate and complete. Additionally, the offeror must also complete and return the “Representations, Certifications, and Other Statements of Offerors” included in Section 00 45 00 of the solicitation. If the offeror is a Joint Venture, all participants must separately complete annual representations and certifications and Section 00 45 00.

Tab 5 of the Price Proposal: Offer Guarantee.

All offerors must submit a Offer guarantee (e.g., Standard Form 24, Bid Bond) which complies with the requirements of FAR 28.101 Bid Guarantees, and any Defense and Army supplements thereto.

Tab 6 of the Price Proposal: Pre-Award Survey Information.

a. The Contracting Officer is required to make an affirmative pre-award determination of the prospective contractor's responsibility in accordance with the mandatory requirements of Part 9 of the Federal Acquisition Regulation (FAR) and its supplements. The Contracting Officer must have sufficient information available to determine that a prospective contractor meets these minimum standards. Therefore, the offeror is requested to provide the pre-award survey information described below with its price proposal:

(1) The completed Construction Contractor Data Form with Supplemental Schedules A-C (see format which follows). If the offeror is a large multi-segmented business concerns, the data provided on the supplemental schedules may be limited to information that directly pertains to the specific segment of the business concern (e.g., the division, group, unit, etc.) proposed to perform work under the prospective contract with its own work force. If the offer is being submitted by a Joint Venture, submit a separate form for each Joint Venture participant. The offeror may submit pre-award survey information in another format, provided that the information furnished is substantially the same as that which would be furnished on the Construction Contractor Data Form and its supplemental schedules.

(2) Current financial statements. If the financial statement is more than 60 days old, submit a certificate stating that the firm's financial condition is substantially the same, or, if not the same, state the changes that have taken place. If a Joint Venture, provide this information for each participant in the Joint Venture.

(3) Banking information. Provide letters from banks or other financial institutions with which the contractor conducts business. The letters should contain information about your firm's accounts, loans, lines of credit, etc. The Government is interested in financial stability, timely payments, the length and nature of the relationship between the firm and the financial institution, and the firm's financial ability to perform the contract. The letters should also provide the name and telephone number of the bank representative the Government may contact. If a Joint Venture, provide this information for each Joint Venture participant.

b. The Government will treat the pre-award survey information submitted by the offeror as proprietary.

CONSTRUCTION CONTRACTOR DATA		DATE:
Firm Name and Telephone Number	Main Office Address (Street, City, and State)	
Branch Offices	Services Rendered <input type="checkbox"/> Construction <input type="checkbox"/> Design <input type="checkbox"/> Consultant	
Organization <input type="checkbox"/> Individual <input type="checkbox"/> Joint Venture <input type="checkbox"/> Partnership <input type="checkbox"/> Corporation	Date Organized	Date Incorporated: State:
Names of Officers and Other Key Personnel		
I – PRESENT PAYROLL PERSONNEL (List Number of Each Category Below)		
Partners:	Remainder:	Subtotal Permanent:

Officers: Other Key:	Total:	Maximum Personnel at Any Time: Date:
II—EQUIPMENT OWNED		III—FINANCIAL DATA AS OF
Present Value (\$)		(DATE):
		Current Assets:
Acquisition Cost (\$)		Current Liabilities:
		Net Worth:
IV—TOTAL VALUE OF CONSTRUCTION AND DEMOLITION WORK IN PAST 6 YRS EXCLUSIVE OF JOINT VENTURE (LIST MOST RECENT FIRST)		V—LARGEST JOB EVER CONTRACTED (If Other Than in Past Six Years)
\$	LARGEST JOB IN PAST 6 YRS	Contract Amount: Date: Description: Owner:
\$	Contract Amount:	
\$	Date:	
\$	Description:	
\$		
\$		
Avg. Annual Income \$	Owner:	
VI—TYPE OF WORK IN WHICH FIRM SPECIALIZES		
NAME AND POSITION/TITLE OF PERSON SIGNING		SIGNATURE
<input type="checkbox"/> See attachment for explanations or detailed description of item(s) reported above.		

CONSTRUCTION CONTRACTOR DATA – SCHEDULE A – EXISTING COMMITMENTS				
List below the construction projects your firm currently has under way, including recent awards. Also list construction projects for which your firm is the apparent successful offeror/bidder, but for which a contract has not yet been awarded.				
CONTRACT NUMBER	CONTRACT AMOUNT	DESCRIPTION/ LOCATION	ORGANIZATION/ CONTACT PERSON/ PHONE NUMBER	PERCENT COMPLETE

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CONSTRUCTION CONTRACTOR DATA – SCHEDULE B – COMPLETED PROJECTS

List below the principal construction projects your firm has completed within the past six years, including all DoD contracts with a total value exceeding \$10,000,000.00.

CONTRACT NUMBER	CONTRACT AMOUNT	DESCRIPTION/ LOCATION	ORGANIZATION/ CONTACT PERSON/ PHONE NUMBER	PERCENT SUBLET

**CONSTRUCTION CONTRACTOR DATA – SCHEDULE C –
CONSTRUCTION AND/OR TECHNICAL EQUIPMENT**

List total equipment and facilities owned for performing the prospective contract and present status as to whether or not it is currently committed to existing contracts.

QUANTITY	DESCRIPTION	CONDITION	YEARS OF SERVICE	PRESENT STATUS

5. TECHNICAL PROPOSAL VOLUME EVALUATION CRITERIA

5.1 NUMBER OF SETS OF THE TECHNICAL PROPOSAL

The Technical Proposal is to be submitted in one hard “original” and five copies. In addition, submit one complete copy of the technical proposal on Compact Disk (CD) using a searchable “PDF” file format. No pricing information shall be included in the technical volume. If pricing information is provided within the technical volume, the proposal may be disqualified and not considered for award. The Technical Volume should be specific and complete. Legibility, clarity and coherence are very important.

5.2 FORMAT, CONTENTS, AND LIST OF TABS FOR THE TECHNICAL PROPOSAL

Use 8-1/2” x 11” pages for the narrative portions of the proposal. The overall page limit for the technical proposal is 64 double-sided pages (not counting the past performance questionnaires; additionally, there may be limits imposed at the tab level. Organize your technical proposal as indicated below. The tabs directly correlate to the technical evaluation factors. Although the Government may use information contained anywhere within the technical proposal in its evaluation of any technical evaluation criteria, the Government is not obligated to search for or to consider information that is not located in the specified location. Number the pages. Limit submittals to the information specified; excess information will not be evaluated, and maybe considered a weakness for failure to comply with solicitation requirements.

TECHNICAL PROPOSAL

FACTOR 1 –EXPERIENCE & CAPABILITY

- a. Prime Contractor/Key Subcontractor Example Projects Demonstrating Experience and Capability
- b. Prime Contractor/Key Subcontractor Corporate Resumes
- c. Key Personnel Qualification Resumes

FACTOR 2 – TECHNICAL AND MANAGEMENT APPROACH

- a. Technical Narrative
- b. Management Approach
- c. Network Analysis Schedule

FACTOR 3 – PAST PERFORMANCE

Prime Contractor/Key Sub-Contractor Past Performance

FACTOR 4 – SMALL BUSINESS PARTICIPATION

Factor 1 is weighted more than Factor 2. Factor 2 is weighted more than Factor 3. Factor 3 is weighted more than Factor 4. All non-price factors when combined are weighted more heavily than cost/price.

5.3 DETAILED SUBMISSION REQUIREMENTS AND EVALUATION CRITERIA FOR THE TECHNICAL PROPOSAL

a. The Offeror is required to propose a specific project team including key subcontractors for evaluation in response to this Request for Proposals. For purposes of this procurement, the terms “key subcontractors” are is used to refer only to the prospective subcontractors whose qualifications, experience, and past performance will be evaluated by the Government as part of the source selection process. For reasons of efficiency, not all of the subcontractors are critical to successful post-award contract performance have been included in this group. In order to streamline the proposal submission and evaluation process, please limit your submission to the information specifically requested. Information pertaining to other subcontractors not designated as “key” by the Government will be considered excess and will not be evaluated.

b. For the purposes of this procurement, a key subcontractor is defined as any subcontractor performing “key” major work elements for which capability information is required to be submitted for evaluation as part of the Offeror’s technical proposal. The Government has designated the following major work elements as “key”:

- Traffic Control
- Utility Relocation
- Stormwater Pollution Prevention
- Asphalt Cutting and Paving

The prime contractor shall self-perform the cutoff wall effort. Although the cutoff wall is a major work element for this project it shall not be subcontracted and for the purposes of 5.3(b) is not identified as “key.”

c. For the purposes of this procurement, a key person is defined as any person proposed for a key position whose resume is submitted for evaluation as part of the Offeror’s technical proposal. The Government has designated the following positions as “key”:

- Construction Project Manager
- On-Site Project Superintendent
- On-Site CQC System Manager
- Cutoff Wall QC Engineer
- Slurry Cutoff Wall Specialist
- Slurry Cutoff Wall Excavation Equipment Operator
- Trench Quality Control Technician
- Trench logger

d. In accordance with this clause, any post-award changes to the key subcontractors in the accepted proposal will require contracting officer approval. Individuals and subcontractors proposed and personnel designated as “key personnel” in the contractor’s proposal are considered key to the successful performance of this contract. Once a contract is awarded, those individuals shall be utilized in the performance of this contract. This commitment shall not be changed without the specific written authorization of the Contracting Officer and then only if acceptable comparable personnel are substituted therefore. The Contractor shall submit in writing to the Contracting Officer the reasons for the substitutions and the qualifications for the persons or subcontractors. Provide the same level of detail on credentials and qualifications on the key personnel or subcontractors as was required by the solicitation. The key personnel or subcontractors which are proposed as substitutes must possess equal or greater qualifications than the individual or subcontractors accepted with the award of the contract at no additional cost to the Government. The Offeror’s attention is directed to the clause in Section 00 73 00 titled “Key Personnel and Subcontractors”.

e. Preface – Prime Contractor/Key Subcontractor Introduction.

(1). Provide a brief introduction narrative. Identify and provide the name, DUNS number, address, and a brief description of the role and authority of each firm that will be involved in performance of this contract at the prime contractor and key subcontractor level. If the proposed prime contractor is a Joint Venture or teaming arrangement (i.e. mentor protégé), describe the relationship, role, and authority (to include management authority) of each firm. (Note: If a proposed firm has branch offices, provide information for each individual branch office that will perform work under the contract with its own workforce.) List the major work elements to be self-performed by the offeror’s in-house work force, the major work elements to be performed by each key subcontractor, and any other major work

to be subcontracted to other contractors. The submission is limited to two pages.

5.3.1: TAB 1 of the technical proposal - FACTOR 1: – EXPERIENCE AND CAPABILITY

1. General

- a. The information provided under this tab will be used in conjunction with the evaluation of the experience and capability of the offeror and proposed key subcontractor(s). The resumes and example projects will provide the primary basis for the Government's evaluation of their qualifications and experience.
- b. The more similarities an example project has with the prospective contract, the more relevant it will be considered. Relevant is defined as projects similar in project type/scope, physical size, complexity, dollar value, contract type, and degree of subcontract/teaming. Generally speaking, the more relevant the experience the more favorable the evaluation rating.
- c. The offeror shall provide all information requested below to demonstrate satisfactory completion of permanent vertical seepage cutoff wall construction projects of similar scope, size and complexity to that of the project characteristics listed below. Offerors must demonstrate experience as listed below. Multiple equipment set-ups or headings on any one project/contract will be considered as one construction project. The projects submitted shall demonstrate corporate experience and capability, not a specific individual's experience and capability. Example projects shall have been constructed within the last 10 years. The more recent the project (within the last 10 years) the more relevant it will be considered.

Project Characteristics:

Slurry supported trench using long-reach excavators or clamshell (conventional) using Slag-Cement-Cement-Bentonite.

- a. Conventional seepage cutoff wall application: Permanent vertical cutoff wall in an embankment or non-embankment application using slurry supported trench using long reach excavators or clamshell to form the vertical seepage barrier.
- b. Wall materials: Slag-Cement-Cement-Bentonite (SCCB)
- c. Minimum depth of cutoff wall: 40 feet
- d. Minimum surface area: 120,000 sq. ft.
- e. Minimum Wall thickness: 30-inches
- f. Maximum hydraulic conductivity: no value more pervious than 5×10^{-7} cm/sec
- g. Unconfined compressive strength; no value less than 30 psi and no value greater than 250 psi at 28 days

2. Prime Contractor/Key Subcontractor Example Projects Demonstrating Experience and Capability.

- a. The offeror is required to submit an "example project" for each of the below capability areas that demonstrate the prime's and/or key subcontractor's experience and capability to successfully complete the example project. Multiple projects can demonstrate an experience and capability or an example project can demonstrate multiple experiences and capabilities. However, if an example project is being used for multiple experiences and capabilities, ensure sufficient information is provided to demonstrate and highlight those applicable experiences and capabilities. Each example project submitted does not need to demonstrate multiple experiences and capabilities; however, all the example projects should collectively demonstrate the required experience and capability.

The offeror must explain how the work performed by the proposed firm in the example project(s) is relevant to this project.

At least three (3) but no more than five (5) example projects demonstrating the prime contractor's experience and capabilities with the project characteristics as described at 5.3.1.1.c shall be submitted.

At least one (1) but no more than three (3) example projects demonstrating the experience and capability of the key subcontractors based on the portion of the overall effort they are being proposed to perform.

The offeror is required to submit the information detailed in the Project Information Form, shown in subsection 3, titled "Formatting and Other Restrictions" for each project submitted.

b. In addition, because the prime contractor will self-perform the cutoff wall effort, the following information shall be provided by the prime contractor for each of the projects submitted meeting the project characteristics as described at 5.3.1.1.c:

- Brief project description including but not limited to methodologies utilized, equipment utilized, site conditions, and subsurface conditions in which the seepage cutoff wall was constructed including ground water levels.
- Description of terrain in which the cutoff wall was constructed through (i.e. flat ground, an embankment). If the project was constructed through an embankment, describe what type of embankment (i.e. road, dike, levee, dam) and include an approximation of the embankment height and working area.
- Cutoff wall material mixing and placement descriptions shall include: Specific equipment used to mix the cutoff wall material, batching systems including automated data acquisition systems, and placement of the cutoff wall material including typical volumes placed per shift.
- Actions taken to insure wall continuity. Include aspects of set time and re-excavation of material or other methods taken to mitigate or prevent cold joints from occurring, if applicable.
- Copy of the actual pages(s) of the specification and plan documents that state: The type of seepage cutoff wall system(s); the cutoff wall material type(s); the required depth of treatment; the required area of treatment; minimum cutoff wall thickness; and QC/QA requirements.
- Copy of compiled mix design report including test results showing the mix proportions (including any additives used), unconfined compressive strength, hydraulic conductivity, marsh viscosity, density, temperature and pH of samples at various ages (3, 7, 14, and 28-day).
- Copy of compiled batch plant records showing the percentage by weight of each dry and wet constituent for each batch mixed at the batch plant.
- Copy of compiled test results for the entire project showing permeability results from in-situ tests, core samples, and/or wet bulk samples. Include a plot of permeability results versus station length of the cutoff wall. Provide description of how permeability is measured.
- Copy of compiled test results for the entire project showing unconfined compressive strength results from core samples and/or wet bulk samples. Include a plot of unconfined compressive strength results versus station length of the cutoff wall.

Provide point of contact information for the Engineer of Record or authorized project owner representative who can verify information submitted to meet the project characteristics as described at 5.3.1.1.c, and the QC results provided in the above bullet items.

c. Example projects submitted to demonstrate a firm's experience and capability must be relevant to the work that the firm will be performing under the prospective contract (e.g. If offeror is proposing contractor ABC to perform the electrical work, the submitted electrical experience and capability example project shall demonstrate contractor ABC's electrical experience and capability). Offerors must explain how the work performed by the proposed firm in the example project is relevant to the proposed acquisition.

d. Do not submit construction projects that are not either complete or substantially complete. (For this purpose, "substantially complete" means that only punch list items remain for project acceptance or that the majority of the elements of the project have been turned over to the customer for beneficial occupancy.)

e. Projects that demonstrate the mobilization of multiple crews and equipment and/or the deployment of multiple headings will be considered advantageous.

f. Provide a Summary Matrix that indicates which submitted example project(s) demonstrates the experience(s) and capability(ies) of which firm (i.e. prime, subcontractor) will perform the capability area identified in paragraph "2.a." above.

The following table is an example only. Offerors shall provide a table based on the example projects being submitted to demonstrate proposed and key subcontractor experience and capability.

Capability	#1	#2	#3	#4	#5	#6
Prime Contractor	X	X	X			
Traffic Control Subcontractor		X		X		
Utility Relocation Subcontractor			X	X		
Stormwater Pollution Prevention Subcontractor	X				X	X
Asphalt Cutting and Paving Subcontractor					X	X

g. Projects considered “Confidential” in nature shall not be used to meet the experience requirement of this solicitation unless all of the information required for evaluation purposes as specified herein can be provided to the Government as part of the Offeror’s technical submission. Offerors that include in their submission data that they do not want disclosed to the public for any purpose, must clearly mark the data in accordance with the instructions at FAR 52.215-1, “Instructions to Offerors-Competitive Acquisition”, paragraph (e), “Restriction on disclosure and use of data”.

3. Formatting and Other Restrictions.

- a. Start the information for each example project on a new page. The submission is limited to **ten (10)** 8-1/2” x 11” or 11” x 17” double-sided pages, including graphics with each example project starting on a new page. Note for paragraphs with a “*” following the text the page limitation does not apply.
- b. Use the “Project Information Form” which follows for submitting the example projects. Use of an alternate format could result in a lower rating if all of the specified information is not provided and/or is more difficult to follow. (Note: Do not submit a group of related jobs as one project unless all of the work was done under the same contract, or for indefinite delivery contracts, under one task order.)

PROJECT INFORMATION FORM

- a. Example Project Number: Start with “1” for the first of all submitted projects and number consecutively.
- b. Name of Prime Contractor(s)/ Sub-contractor (s) that Project is Demonstrating Experience: Provide the name of the proposed firm(s) that this example project is demonstrating experience and capability.
- c. Contract Number and Awarded Prime Contractor Name: Provide contract number assigned by the procuring Contracting Office and the name of the Prime Contractor that was awarded the contract.
- d. Title and Location: Title and location of project or contract.
- e. Month and Year project Work Commenced and Month and Year Project was Completed.
- f. Project Owner: Project owner or user, such as a government agency or installation, an institution, or corporation or private individual.
- g. Point of Contact Name: Provide name of a person associated with the project owner or the organization that contracted for the construction, who is very familiar with the project and the firm’s (or firms’) performance.
- h. Point of Contact Telephone Number: Include area code and email address.

- i. Description of the Project: Provide contract type, dollar amount, physical size, and brief description of prime contracted effort. If the firm (prime/key sub-contractor) performed as a sub-contractor, describe the work effort pertaining to the subcontracted effort, not the prime contract requirement. For each firm (prime/key sub-contractor) that was involved on the example project, provide sufficient detail to establish the relevance to the current project to include (1) the performance period in month and year, (2) final dollar value, (3) physical size and (4) type and percentage of principal elements and special features of the work self-performed by that Prime Contractor's employees. See paragraph 1(a) above.
- j. Provide name of firm(s) (prime/key sub-contractor) and branch offices, if appropriate, that were involved in the example project, their roles, and their respective contract numbers.
- k. Description of key personnel: Indicate which of the offeror's proposed key personnel for the prospective contract were involved in the example project; indicate their roles and responsibilities.

4. Evaluation Criteria.

Experience and capability in the following areas will be evaluated for relevancy (**similar project type/scope, physical size, complexity, dollar value, contract type, and degree of subcontract/teaming with the requirements of this acquisition**) and recency (as previously stated, the more recent the project within the last 10 years, the more relevant it will be considered):

- a. Prime Contractor's contractor/construction/project management experience and capability.
- b. Key Subcontractors' experience and capability.
- c. The Prime Contractor's technical experience and capability in constructing a project as identified in 5.3.1.1.c, and all supporting data will be evaluated for completeness relating to the specific information requested in the solicitation.
- d. The evaluation will consider the relevancy of the experience and capability in comparison to the scope of work in this solicitation.
- e. The capability of the Offeror will be evaluated based on the bullet points above in demonstrating adequate performance and consistency between the previous project's specified requirements and production methods, batching records, and testing results, as well as relevancy with the current project.
- f. The more the information submitted in response to the project characteristics identified in 5.3.1.1.c and bullets in 5.3.2.e reflects reliable and consistent production results in relation to the previous project specifications; the more favorable the rating.
- g. The more closely related and recent the experience and capability reflect the requirements of this solicitation, the higher the rating assigned. As such, offerors should clearly describe how the example project relates to this requirement.
- h. Demonstrations of experience and capability in the following areas will be considered advantageous. (A lack of any of the below items will not be considered unfavorable):
 - i. Prime contractor and Key Subcontractors' teaming experience on similar construction projects.
 - ii. Prior experience on Corps of Engineers construction projects.
 - iii. Prior experience on levee improvement construction projects.
 - iv. A higher percentage of relevant self-performance may result in a more favorable rating.
- i. Recent projects will be given greater consideration than projects which are not considered recent. Example projects completed before January 01, 2007 may be considered by the Government to be less recent. The more recent the project is, the greater the consideration.

- j. Prime contractor's prior subcontract/teaming experience on relevant example projects with key subcontractors proposed for this project is advantageous for evaluation purposes. If the prime contractor is a Joint Venture and is submitting prior work experience as the same Joint Venture on relevant example projects, it would be considered advantageous for evaluation purposes.
- k. Similar to the language stated in 5.3.1.1.d above, the Government realizes that the offeror may not be able to demonstrate relevant experience with all or most of the construction features of the current project on one example project; therefore, the Government will assess the team's experience based on the cumulative experience gained on relevant example projects. Generally, construction projects that are not substantially complete will be given less consideration than construction projects which are either complete or substantially complete; however, for very large contracts spanning several years, the Government will determine whether sufficient progress has been made for the team member to have gained creditable relevant experience.
- l. Failure of the offeror to demonstrate relevant experience for itself or for any proposed key subcontractor will result in an "Unacceptable" evaluation.

5. Prime Contractor/Key Subcontractor Corporate Resumes.

- a. The offeror is required to submit a corporate resume for itself and each of the proposed key subcontractors. If the offer is being submitted by a Joint Venture, submit a separate resume for each Joint Venture participant.
- b. The purpose of the corporate resume is to provide information that will substantiate that the prime and firm to which the work will be subcontracted has the resources necessary for successful performance in the area they are proposed to perform.
- c. In the event of a contractor that is part of a large, multi-segmented business concern, the information provided should directly pertain to the specific segment of the business concern (i.e., the division, group, unit, etc.) that will perform work under the prospective contract with its own workforce. Information pertaining to the business concern in general or to other offices or locations of the firm which will not be self-performing work under the prospective contract with their in-house personnel or affiliates should not be submitted.
- d. A standard format for the corporate resume is not specified. However, the Government is interested in information such as the following:
 - Contractor name, office address, and telephone number for the office that will be performing work under the prospective contract.
 - Type of business organization; date organized; date and state of incorporation, if applicable.
 - Number of personnel on the present payroll in the following categories: partners, officers, other key, remainder.
 - Number of permanent personnel on the present payroll.
 - Equipment owned (relevant to the work to be performed).
 - Total value of work in past six years exclusive of Joint Venture; Average annual gross income for the past six years.
 - Largest job in past six years (contract amount, date completed, description, owner).
 - Largest job ever completed (contract amount, date completed, description, owner).
 - Type of work in which firm specializes

--How long the firm has been performing work similar to what they would be performing on the current acquisition.

--Relevant specialized experience.

--Relevant certifications, etc.

e. Formatting and Other Restrictions.

The submission for each contractor is limited to three 8-1/2" x 11" pages.

f. Evaluation Criteria.

The information provided in the prime contractor's corporate resumes will be evaluated to determine if the prime contractor has the resources necessary for successful performance. If there are proposed key subcontractors, the information provided in the subcontractors' corporate resumes will be evaluated to determine if the proposed subcontractors have the resources necessary for successful performance of the subcontracted work.

6. Key Personnel Qualification Resumes

1. General

a. The information provided under this tab will be used to evaluate the experience and capability of the offeror's key personnel. The resumes will provide the primary basis for the Government's evaluation of the offeror's key personnel

b. Submit a resume of the qualifications of the person proposed for each of the key positions identified by the Government. Submit the qualifications of only one person for each key position (e.g. do not submit alternates). Following are government identified key personnel for this project with minimum qualification criteria:

- i. Prime Contractor's Project Manager – The single point of contact and the person responsible for all construction operations. Must possess a minimum of five years relevant experience working as a Construction Project Manager on projects similar in scope, project type, physical size and complexity to this solicitation. This person may be located on-site or in the contractor home office. The projects listed in the resume of experience must clearly show at least 5 years of relevant construction project management experience and the duties that were performed as manager on those projects.
- ii. On-Site Project Superintendent – The person responsible for all on-site construction activity. This person must possess a minimum of five years experience as construction site project superintendent on construction projects with similar construction features as this project's, including, but not limited to: comparable scope, complexity and physical size completed, or substantially completed, in the last five years.
- iii. On-Site CQC System Manager – The person responsible for all on-site quality control. This person must possess a minimum of five years experience as a quality control manager on construction projects which use similar trades and construction technology as this project. See section 01 45 04 of the Specifications pertaining to additional minimum qualifications.
- iv. Cutoff Wall QC Engineer - The Cutoff Wall QC Engineer shall provide supervision and control of all QC aspects related to the SCCB seepage cutoff wall. Must possess a minimum of five years of relevant experience working as a Cutoff Wall QC Manager on projects of similar in scope, project type, physical size and complexity to this solicitation. The resume shall include at least two SCCB seepage cutoff projects demonstrating experience and capability of QC managing cutoff wall projects successfully similar to the project in this solicitation.
- v. Slurry Cutoff Wall Specialist – The single point of contact and the person responsible for

construction operations related the seepage SCCB cutoff wall. They shall provide supervision and control of the composition, mixing, placing, and maintenance of the SCCB slurry. Must possess a minimum of five years of relevant experience working as a Slurry Cutoff Wall Specialist on projects of similar in scope, project, physical size and complexity to this solicitation. The Slurry Cutoff Wall Specialists shall have experience on at least two CB seepage cutoff projects demonstrating experience in, but not limited to:

- a. Controlling composition, mixing, placing, testing, and maintaining the SCCB slurry.
- b. Supervision of alignment, verticality, and depth of cutoff walls.
- c. The mixing methods required to properly control mixing, properly mix, and place the SCCB slurry as required.
- d. Trench excavation, slurry trench filling, and backfilling procedures.
- e. A thorough knowledge of cutoff wall construction equipment and material testing required for slurry cutoff wall construction.
- f. Show successful construction of at least two SCCB cutoff walls having similar access constraints and at a similar depth as this project. Project experience not in North America may be cited, however subject to approval based on verification.

The projects listed in the resume shall be similar to this solicitation including, but not limited: scope, size, complexity and dollar amount.

The Contractor shall have the slurry cutoff wall specialist on site at all times while the cutoff wall is being constructed, including during all batching, trenching, and slurry placement operations.

Cutoff Wall Excavation Equipment Operator – Each Cutoff Wall Excavation Equipment Operator shall have previous experience using similar cutoff wall excavation equipment to be used for this solicitation in a minimum of two successfully completed projects and minimum of five years of experience of similar or greater length and depth. The projects listed in the resume shall be similar to this solicitation including, but not limited to: comparable scope, complexity and physical size completed.

Trench Quality Control Technician – Working under the direction of the cutoff wall specialist the trench quality control technician will take required measurements of trench geometry, perform trench slurry sampling, and perform trench soundings.

Trench Logger – The trench logger will have responsibility for logging the description and classification of the material excavated from the slurry trench. The Trench Logger shall be a geologist, geotechnical engineer, or civil engineer registered in the State of California with a minimum of two successfully completed projects and a minimum of five years of experience using ASTM D 2488. The projects listed in the resume shall be similar to this solicitation including, but not limited: comparable scope, complexity and physical size completed.

c. Submit the qualifications of the person proposed for each of the key personnel positions identified by the Government. Submit the qualifications of only one person for each key position (e.g., do not submit alternates). If the same person is being proposed for more than one key position (where allowed), submit appropriate qualification for that person for each proposed position.

d. The qualifications must clearly substantiate with data that can be verified that the proposed person currently meets any minimum qualification criteria for the key position. As a minimum the resume shall include project title and location, awarded prime contractor name, project owner and owner's point of contact name and phone number, dates of work interval experience, and description of work performed and project feature. Mere statements of compliance will not suffice. For example, if there is a minimum experience requirement, provide specific, detailed employment data. Additional documentation such as certificates, certifications, and licenses must be valid (e.g., not expired) at the time of offer submission. Documentation substantiating that the person meets the minimum qualification criteria should also be attached. Such documentation is excluded from the page limitation.

e. The Government is especially interested in the experience of the proposed key personnel **in the same capacity** on relevant projects, as demonstrated by the example projects on their resumes. The greater the similarities between the example project and the prospective contract, the more relevant the example project will be considered. The greater the number of relevant experience years, the more favorable the rating

f. Formatting and Other Restrictions.

- i. Begin each key person qualifications on a new page. The submission is limited to five 8-1/2" x 11" double-sided pages per qualification, excluding attachments (e.g., documentation that is attached to substantiate that a person meets the minimum qualification criteria for the position does not count towards the 5 page limitation).

- ii. Qualification format shall provide sufficient details/data that can verify the proposed person meets minimum qualification criteria for the key position.
- iii. Qualifications shall include the following information:
 - a. Total cumulative years of experience in the proposed position to include the following for each example provided to substantiate experience.
 - i. (i). Project Title and Location (City and State)
 - ii. (ii). Customer/Project Owner
 - iii. (iii). Firm that Proposed Person was Employed by When Work was Performed
 - iv. (iv). Dates Proposed Person Worked on this Project: Month/Year to Month/Year
 - v. (v). Proposed Person's Specific Position/Role/Title, Duties, Responsibilities, and Authority Held
 - vi. (vi). Brief Project Description (scope, physical size, price, etc.)
 - vii. (vii). Specialized Experience Gained from the Example Project that is Relevant to the Prospective Contract
 - b. Provide the following information as to current employment:
 - i. (i). Name, city and state of the firm where the person currently works
 - ii. (ii). Name, city and state of the firm where the person will work under the prospective contract
 - iii. (iii). Primary work site under the prospective contract

g. Evaluation Criteria

- i. Where the solicitation establishes minimum qualification criteria for a key position, the Government will evaluate the experience and capability (to include any attachments thereto) of the proposed person to determine that the minimum qualifications have been met. Failure to clearly substantiate that the minimum requirements have already been met by the proposed person will adversely impact the rating.
- ii. The Government will evaluate the offeror's key personnel relevant experience. The more recent, and the greater the extent and relevance of the key personnel's qualifications, experience, and active registrations; will result in a more favorable rating. Key personnel with previous experience in the same capacity on prior relevant completed or substantially completed project(s) are advantageous for evaluation purposes. (Note: Projects with overlapping timeframes will not have cumulative time assigned to more than one project. (e.g. Project A: January 2010 through September 2010, equals 9 months. Project B: July 2010 through December 2010, equals 3 months. Cumulative total experience will be 12 months, NOT 15 months.)) Generally, projects that are not substantially complete will be given less consideration than projects which are either complete or substantially complete; however, for very large contracts spanning several years, the Government will determine whether sufficient progress has been made for the key personnel to have gained creditable relevant experience.
- iii. Demonstrating experience with the use of RMS/QCS per section 01 45 00.10 of the Specifications, will be considered advantageous. A lack of experience with the use of RMS/QCS will not be considered unfavorable.

5.3.2: TAB 2 of the technical proposal - FACTOR 2: – TECHNICAL AND MANAGEMENT APPROACH

Factor 2 (Technical and management approach) is composed of three elements – technical approach, management approach and a network analysis schedule.

1. TECHNICAL NARRATIVE

- a. The approach must be in sufficient detail to clearly demonstrate (1) the offeror's understanding of the principal components of work described in the project specifications and drawings and (2) the offeror's understanding of the site and other conditions that could impact schedule. (3) the offeror's perceived performance and cost risks

and a plan to mitigate those risks. The narrative should contain sufficient information to allow the Government to perform a basic analysis of the proposed approach.

- b. Describe in general terms how the offeror will approach the construction of the Seepage Cutoff Walls. The Government is interested in information such as: 1) Construction Approach (Sample Mix Design Plan and Cutoff Wall Implementation Plan), 2) Equipment, 3) Quality Control, 4) Emergency Plan, 5) how the offeror would mobilize a second set of equipment and crews if it was necessary to deploy a second heading.
- c. Describe any significant problems or major difficulties anticipated in performing or accomplishing the work, challenges associated with this project, and offeror's plan for avoiding problems and mitigating difficulties which could adversely impact project schedule. If no problems and difficulties are anticipated, state so and why.
- d. Construction Approach: The offeror should present methodologies intended to construct permanent vertical seepage cutoff walls through existing levee embankments and native soils consisting of clays, silts, sands, and gravels while ensuring embankment stability during construction. The approach should include methodologies to construct permanent vertical seepage cutoff walls to approximately 45 feet in depth, using a slag-cement-cement-bentonite material combination. The construction approach should also include general methodologies regarding installation of cutoff walls around relatively shallow utilities, utility relocations, and across roadways requiring traffic control.
- e. Sample Mix Design Plan: Offeror to submit sample mix design based on current specification requirements. The plan shall summarize the procedures of the preconstruction SCCB slurry trial mix design. The plan shall include a description of materials (including additives), mix proportions (slag cement, cement, bentonite, water, and additives), and test procedures in the proposed SCCB trial mixes.
- f. Cutoff Wall Implementation Plan: Offeror to submit a sample implementation plan describing the construction schedule, sequence of operations, equipment data, and quality control program details. Describe the general work sequence and layout of operations, work hours, and number of headings. Include scale drawings that depict SCCB slurry preparation and storage areas in the layout of operations. Describe Contractor equipment, delivery and mixing equipment, slurry storage equipment, depth measurement equipment, method of trench excavation, disposal of excavated material, bottom cleaning, SCCB slurry preparation and placement, and site clean-up. Describe the quality control program including quality control equipment; testing and sampling equipment; procedures to obtain backfill bulk samples of SCCB backfill material; complete details, drawings, and operation of the bulk sampler to be used for sampling slurry at depth in the trench; all required test procedures; the laboratory proposed for use; sample preparation (including molding, curing and testing); sample storage; sample documentation; and the method of transporting samples to the laboratory.
- g. Equipment: Provide a complete list of all equipment specifically related to the methodology proposed for emplacement of the permanent vertical seepage cutoff wall. This should include, but is not limited to, batch plant components, rigs, and other support equipment. For each piece of equipment, provide the following information:
 - i. photograph,
 - ii. performance data
 - iii. last time equipment was used on a production basis
 - iv. age of equipment
 - v. quantity of available equipment
 - vi. equipment geometry including range of dimensions, weights, and minimum clearance requirements (i.e. horizontal and vertical)
- h. Quality Control: The offerer should provide a Quality Control Plan demonstrating the methods that are anticipated to be used to ensure compliance with the contract parameters in accordance with the construction method proposed. This should include procedures and equipment for measuring seepage cutoff wall depth, width, hydraulic conductivity, and strength. The procedures should include both laboratory and in-situ sampling and testing methods. The Quality Control Plan should include remediation methods repairing portions of seepage cutoff wall determined to not meet performance requirements. The Quality Control Plan should include

testing procedures for monitoring and maintaining excavation stability and ensuring embankment integrity.

- i. **Emergency Plan:** The offerer should provide an emergency plan to repair and reconstruct the levee embankment should distress occur to the levee embankment, during construction of the seepage cutoff wall, associated with slope instability, slurry loss/escape, trench instability, or hydraulic fracture.
- j. **Formatting and Other restrictions:** The narrative submission for technical narrative is limited to twenty-five (25) 8-1/2" x 11", double-sided pages.
- k. **Evaluation Criteria:** The Government will evaluate the offeror's technical narrative to the extent that it successfully addresses those items mentioned above, in Section 5.3.2.1. The detail, logic, realism and achievability of the technical approach will be evaluated. The more detailed, logical, realistic or achievable the technical approach is the more favorable the rating. Furthermore, offerors clearly demonstrating their understanding of the principal components of work described in the project specifications and drawings, site and other conditions that could impact the schedule; and offer a clear approach to the successful construction of the seepage cutoff wall within the period of performance stated herein will be evaluated. The greater the proposal demonstrates those items identified 5.3.2.1 and lowers the risk of unsuccessful performance, the greater the rating.

2. MANAGEMENT APPROACH

a. Brief introduction narrative and Management Plan.

- i. **Narrative:** Identify and provide the name, DUNS number, street address, and a brief description of the role and authority of each firm that will be involved in performance of this contract at the prime contractor and key subcontractor level. If the proposed prime contractor is a Joint Venture or ascribes to another relevant teaming arrangement (e.g., mentor protégé), describe the relationship, role, and authority (to include management authority) of each firm. Note: If a proposed firm has branch offices, provide information for each individual branch office that will perform work under the contract with its own workforce.) List the major work elements to be self-performed by the Offeror's in-house work force, the major work elements to be performed by each key subcontractor, and any other major work (e.g. including but not limited to utility relocations, roadway closures, etc.) to be subcontracted to other contractors.
- ii. **Management Plan:** The offeror shall discuss their approach for managing and controlling multiple subcontractors in a restricted site, handling security requirements, maintaining a safe work environment, controlling and handling quality control issues, replacing personnel and resolving problems and ultimately ensuring that the customer is well served and provided the very best effort. The offeror shall identify and describe potential challenges associated with the successful performance of this project and the managerial plan to mitigate those risks. The offeror shall describe their processes for change management.
- iii. **Formatting and Other restrictions:** The narrative submission for brief introduction narrative and management plan is limited to ten (10) 8-1/2" x 11", double-sided pages.
- iv. **Evaluation Criteria:** The Government will evaluate the offeror's management approach to the extent that it successfully addresses those items mentioned above, in Section 5.3.2.2. The detail, logic, realism and achievability of the technical approach will be evaluated. The more detailed, logical, realistic or achievable the technical approach is the more favorable the rating. Furthermore, offerors clearly demonstrating the ability to effectively manage the subcontractors on the team, ability to coordinate all of the work throughout all construction phases, understanding of the phasing of the work, the planned approach to accomplish the project's scope, and understand of the roles and planned interaction between the various contractor personnel involved. The greater the proposal demonstrates those items identified 5.3.2.2 and lowers the risk of unsuccessful performance, the greater the rating.

b. Organizational Chart. Provide a chart that graphically depicts the offeror's proposed project team consisting

of the key subcontractors and key personnel. Include by name the proposed firms to perform the construction efforts associated with this project. Indicate lines of authority using a separate depiction (either color, solid, etc. lines). The organizational chart shall also identify the line of authority within the organization, authority of key personnel, and authority between all proposed team subcontractors and the prime. Joint ventures and any other teaming arrangements shall provide additional information regarding any limits of responsibility of the parties. The lines of responsibility for each organization and identification of the firm each employee in the organizational chart belongs to is also required for joint venture and other teaming arrangement offerors. Offerors shall provide their proposed organizational chart **identifying individuals** to be assigned to key personnel positions and all proposed team subcontractors.

Offeror shall commit to utilizing the following key personnel on the project. If several alternate personnel would be required, provide resumes for these employees of the Contractor. Alternate personnel qualifications shall meet the requirements for the primary key personnel. The primary or alternative key personnel shall be committed by the Contractor for the duration of the project, at the project site, unless written release is obtained from the Contracting Officer. The key positions are identified in paragraph 5.3.c. above:

- i. **Formatting and Other Restrictions:** The organizational chart submission is limited to one (1) 8-1/2" x 11" or 11" x 17", double-sided page.
- ii. **Evaluation Criteria:** The organization chart will be evaluated on the definitions and appropriateness of the proposed lines of authority, responsibility, communications and the ability and authority for key onsite personnel to make decisions in a timely manner and risk. Evidence of previous teaming between the Joint Venture partners and/or key subcontractors may result in a more favorable rating.

3. NETWORK ANALYSIS SCHEDULE

1. General

a. The project schedule that is required is a preliminary schedule for pre-award evaluation purposes to demonstrate the understanding of the contract requirement, associated challenges and the logic associated with the required activities.

2. Project Schedule:

a. Technical proposal shall include a Network Analysis System project schedule (NAS) for this project using the Critical Path Method (CPM) and Precedence Method (PDM). The schedule shall demonstrate construction sequencing, including road closures using activities, milestones, activity starts and finishes, durations, activity relationships, and a schedule from construction start to end of construction. Construction shall begin according to the timeframes reflected in FAR 52.211-10 Commencement Prosecution and Completion of Work. NAS shall include a network diagram which will display the order and interdependence of activities and the sequence in which the work is to be accomplished. The computer software utilized to prepare the schedule must meet the activity coding structure defined in the Standard Data Exchange Format (SDEF) in Engineering Regulation (ER) 1-1-11, Progress, Schedules, and Network Analysis Systems.

b. The offeror shall develop a proposed construction schedule (i.e., GANTT (NOT a Pert Chart)), broken down to the "Feature of Work" level, that graphically illustrates the proposed integration, scheduling, and phasing of the major features on the critical and near-critical path for this project, including final close-out. The importance of the construction schedule is highlighted by certain critical project factors: obtaining all necessary approvals on schedule and pre-work plans, project climate, weather sensitive work, and phasing constraints. The proposed schedule should also consider weather delays as part of construction and be labeled such. The proposed schedule shall indicate the starting and completion times of all major elements of work beginning with the notice to proceed. The Government will exercise all options in the timeframe specified in the solicitation. The schedule shall indicate sequences proposed to accomplish each work element and appropriate interdependencies between various work elements, identify long lead items, address proper sequencing of submittals to include review time by Government personnel and submittal corrections. The schedule shall be as realistic as possible, demonstrating the offeror's ability to propose a schedule that identifies all major elements of work for this project, meets the Government's requirements, and is obtainable. For the purposes of the proposal submittal, assume a Notice to Proceed (NTP) date of 1 April 2017.

c. The schedule is to include activities on the near critical and critical paths, including but not limited to the following:

- NTP
- Construction activities broken down to the “Feature of Work” level
- Adverse weather per section 01 00 00
- Contractor Punch-out Inspection items
- Pre-final Inspection
- Correction of pre-final inspection items
- Final Inspection
- Correction of Final Inspection items.
- Close-out documents
- Project Complete

d. The offeror should include a narrative identifying challenges in meeting the schedule and mitigation techniques. Identify in the schedule any opportunities for streamlining the schedule.

e. The project schedule must not exceed the contract performance period. The offeror may propose a completion period of lesser duration, SUBJECT TO THE FOLLOWING CONDITIONS:

- i. If an offer is accepted which proposed a shorter performance period than that required by the Government, the proposed shortened performance period will be incorporated into and will become a binding part of the resultant contract. Additionally, any assessment of liquidated damages will be based on the shortened performance period accepted by the Government.

- ii. The below compliance statement completed by the offeror and duly executed with an original signature by an official authorized to bind the company must be included in the technical proposal under this tab. Failure to include this signed statement may render an offer which proposes a completion period of lesser duration ineligible for contract award.
- f. Formatting and Other Restrictions:
- i. There is not a page limitation for this submission; however, pages must not exceed 11" x 17" in size. Ensure the font size is legible so each activity and its duration can be read.
 - ii. Number line items on the project schedule for easy reference.
 - iii. If the offeror is proposing a shortened performance period, the technical proposal must also include the offeror's statement of compliance with 10 U.S.C. 2858 using the following format:

OFFEROR'S STATEMENT OF COMPLIANCE WITH 10 U.S.C. 2858

[Insert name of the offeror] hereby proposes that the period of performance for all construction is _____ calendar days from Notice to Proceed, inclusive of Government review periods and Government phasing requirements specified.

[Insert name of the offeror] hereby states that the offer of this performance period is at no additional cost to the Government over the performance period specified on the SF 1442. Specifically, the shortened performance period will not be achieved by the use of overtime, multiple shifts, or additional personnel nor does it include expedited materials handling/shipping costs.

I understand that making a false, fictitious, or fraudulent statement may subject me to prosecution under Title 18, United States Code, Section 1001.

SIGNATURE OF COMPANY OFFICIAL

(End of Compliance Statement)

- g. Evaluation Criteria.
- i. The Government will evaluate the thoroughness and logic of each construction activity within the proposed project schedule to determine the extent to which it demonstrates the offeror's ability to schedule, integrate, and phase the major features on the critical and near-critical path, including final close-out activities. The Government will also evaluate whether the construction schedule is highlighted by critical project factors: obtaining all necessary approvals on schedule and pre-work plans, project climate, weather sensitive work, and phasing constraints. As part of its evaluation, the Government will assess whether the Offeror's approach to the scheduling/phasing of these major activities includes the starting and completion times of all major elements of work beginning with the notice to proceed to completion of all options and indicates sequences proposed to accomplish each work element and appropriate interdependencies between various work elements, identify long lead items, address proper sequencing of submittals to include review time by Government personnel and submittal corrections. The Government will also consider whether the Offeror's schedule is realistic and demonstrates a schedule that identifies all major elements of work for this project, meets the Government's requirements, and is obtainable.
 - ii. Offerors may receive an enhanced technical rating for proposing a schedule which offers early project completion and turnover, provided that (i) the period of time by which the schedule has been shortened is meaningful; and (ii) the shortened schedule appears reasonable, realistic, and achievable without the use of overtime, multiple shifts, additional personnel or expedited materials handling/shipping costs.
 - iii. The contracting officer may approve an expedited completion date only if no additional costs are involved. For the purposes of this solicitation, if an offeror proposed a shorter schedule than that required by the Government, and did not submit the lowest priced offer, the price premium will be presumed to be

attributable to the shortened schedule, unless the offeror has clearly stated in the offer that no price premiums were included in the offer that are directly attributable to the shortened schedule.

- iv. If the offeror proposed a shorter schedule and failed to complete the statement that the offer included no additional costs attributable to the shortened schedule, the Government may determine that the offer is ineligible for award. The Government is under no obligation to open discussions with the offeror pertaining to the shortened schedule; nor is the Government obligated to request or obtain Secretarial level approval to expedite the contract completion date.

5.3.3: Tab 3 of the Technical Proposal - FACTOR 3: PAST PERFORMANCE

Prime Contractor/Key Sub-Contractor Past Performance

1. General.

- A. The information provided under this tab will be an evaluation of the relevant past performance record of the offeror and proposed key sub-contractors. Information other than that supplied by the offeror under this tab may be utilized by the Government in its evaluation of past performance.
- B. The more similar an example project is with the prospective contract, the greater the degree of relevancy.

2. Prime Contractor/Key Sub-Contractor Past Performance.

- A. Offerors are to provide past performance evaluation information on the example projects submitted under the Experience and Capability factor (e.g. Past Performance Information Retrieval System (PPIRS), Federal Awardee Performance and Integrity Information System (FAPIS), Contractor Performance Assessment Reports (CPARS) Construction Contractor Appraisal Support System (CCASS), questionnaire, similar performance evaluation, or other performance evaluations completed previously).
- B. The Past Performance Questionnaire included in the solicitation is provided for the offeror or its team members to submit to the client for each project the offeror includes in its proposal for Factor 1, *"Experience and Capability."* Offerors shall ensure correct phone numbers and email addresses are provided for the client point of contact. Completed Past Performance Questionnaires (PPQ) shall be submitted with your proposal. If the offeror is unable to obtain a completed PPQ from a client for a project(s) before proposal closing date, the offeror should complete and submit with the proposal the first page of the PPQ, which will provide contract and client information for the respective project(s). Offerors should follow-up with clients/references to ensure timely submittal of questionnaires. If the client requests, questionnaires may be submitted directly to the Government's point of contact, Greg Treible via email at Greg.L.Treible@usace.army.mil prior to proposal closing date. **Offerors shall not incorporate by reference into their proposal PPQs previously submitted for other RFPs.** However, this does not preclude the Government from utilizing previously submitted PPQ information in the past performance evaluation.
- C. Include performance recognition documents for the example projects, such as awards, award fee determinations, customer letters of commendation, and any other forms of performance recognition. It is preferred that performance recognition documents be provided for the example projects; performance recognition documents from other than example projects will be considered not as relevant.
- D. In addition to the above, the Government may review any other sources of information for evaluating past performance. Other sources may include, but are not limited to, past performance information retrieved through the Past Performance Information Retrieval System (PPIRS), including Prime Contractor Performance Assessment Reporting system (CPARS), using all CAGE/DUNS numbers of team members (partnership, joint venture, teaming arrangement, or parent company/subsidiary/affiliate) identified in the offeror's proposal, inquiries of owner representative(s), Federal Awardee Performance and Integrity Information System (FAPIS), Electronic Subcontract Reporting System (eSRS), and any other known sources not provided by the offeror.
- E. While the Government may elect to consider data from other sources, the burden of providing detailed, current, accurate and complete past performance information rests with the Offeror.
- F. Provide the following additional information for each of the example projects submitted under

the Experience and Capability factor.

- i. Compliance with Small Business Participation Requirements: (only applies to contract awarded by a federal agency.)
 - a. Address the Prime Contractor's compliance with the requirements of FAR 52.219-8, currently titled "Utilization of Small Business Concerns" by listing the percentage participated by each small business concern category.
 - b. If the contract included a small business subcontracting plan, address compliance with FAR 52.219-9, currently titled "Small Business Subcontracting Plan" either (i) by listing the subcontracting plan goals for each small business category and the percentages that were actually achieved by small business category OR (ii) by attaching the eSRS Individual Subcontracting Report (ISR), for the contract.
- ii. Safety Record: Detailed information pertaining to reportable injuries with lost workdays or fatalities on this project. For contracts with reportable injuries (lost workdays or fatalities), also include the total number of hours worked under the contract. Provide frequency rate.
- iii. Performance Problems: Describe any performance problems on this project about which a customer may make adverse remarks. Describe actions taken to correct any performance shortcomings. Describe any pending, on-going, or completed litigation. If no performance problems, provide a statement to this effect.
- iv. Regulatory Issues: Describe any regulatory issue that affected the project and the resolution.

3. Formatting and Other Restrictions.

Start the information for each example project on a new page. There is not a page limitation for this submission.

A. Sample project Past Performance Questionnaire:

NAVFAC/USACE PAST PERFORMANCE QUESTIONNAIRE (Form PPQ-0)				
CONTRACT INFORMATION (Contractor to complete Blocks 1-4)				
1. Contractor Information				
Firm Name:		CAGE Code:		
Address:		DUNs Number:		
Phone Number:				
Email Address:				
Point of Contact:		Contact Phone Number:		
2. Work Performed as:	Prime Contractor	Sub Contractor	Joint Venture	Other (Explain)
Percent of project work performed:				
If subcontractor, who was the prime (Name/Phone #):				

3. Contract Information

Contract Number:

Delivery/Task Order Number (if applicable):

Contract Type: Firm Fixed Price Cost Reimbursement Other (Please specify):

Contract Title:

Contract Location:

Award Date (mm/dd/yy):

Contract Completion Date (mm/dd/yy):

Actual Completion Date (mm/dd/yy):

Explain Differences:

Original Contract Price (Award Amount):

Final Contract Price (*to include all modifications, if applicable*):

Explain Differences:

4. Project Description:

Complexity of Work High Med Routine

How is this project relevant to project of submission? (*Please provide details such as similar equipment, requirements, conditions, etc.*)**CLIENT INFORMATION (Client to complete Blocks 5-8)****5. Client Information**

Name:

Title:

Phone Number:

Email Address:

6. Describe the client's role in the project:**7. Date Questionnaire was completed (mm/dd/yy):****8. Client's Signature:****RATING****DEFINITION****NOTE**

(E) Exceptional	Performance meets contractual requirements and exceeds many to the Government/Owner's benefit. The contractual performance of the element or sub-element being assessed was accomplished with few minor problems for which corrective actions taken by the contractor was highly effective.	An Exceptional rating is appropriate when the Contractor successfully performed multiple significant events that were of benefit to the Government/Owner. A singular benefit, however, could be of such magnitude that it alone constitutes an Exceptional rating. Also, there should have been NO significant weaknesses identified.
(VG) Very Good	Performance meets contractual requirements and exceeds some to the Government's/Owner's benefit. The contractual performance of the element or sub-element being assessed was accomplished with some minor problems for which corrective actions taken by the contractor were effective.	A Very Good rating is appropriate when the Contractor successfully performed a significant event that was a benefit to the Government/Owner. There should have been no significant weaknesses identified.

(S) Satisfactory	Performance meets minimum contractual requirements. The contractual performance of the element or sub-element contains some minor problems for which corrective actions taken by the contractor appear or were satisfactory.	A Satisfactory rating is appropriate when there were only minor problems, or major problems that the contractor recovered from without impact to the contract. There should have been NO significant weaknesses identified. Per DOD policy, a fundamental principle of assigning ratings is that contractors will not be assessed a rating lower than Satisfactory solely for not performing beyond the requirements of the contract.
(M) Marginal	Performance does not meet some contractual requirements. The contractual performance of the element or sub-element being assessed reflects a serious problem for which the contractor has not yet identified corrective actions. The contractor's proposed actions appear only marginally effective or were not fully implemented.	A Marginal is appropriate when a significant event occurred that the contractor had trouble overcoming which impacted the Government/Owner.
(U) Unsatisfactory	Performance does not meet most contractual requirements and recovery is not likely in a timely manner. The contractual performance of the element or sub-element contains serious problem(s) for which the contractor's corrective actions appear or were ineffective.	An Unsatisfactory rating is appropriate when multiple significant events occurred that the contractor had trouble overcoming and which impacted the Government/Owner. A singular problem, however, could be of such serious magnitude that it alone constitutes an unsatisfactory rating.
(N) Not Applicable	No information or did not apply to your contract	Rating will be neither positive nor negative.

TO BE COMPLETED BY CLIENT

**PLEASE CIRCLE THE ADJECTIVE RATING WHICH BEST REFLECTS
YOUR EVALUATION OF THE CONTRACTOR'S PERFORMANCE.**

1. QUALITY:	
a) Quality of technical data/report preparation efforts	E VG S M U N
b) Ability to meet quality standards specified for technical performance	E VG S M U N
c) Timeliness/effectiveness of contract problem resolution without extensive customer guidance	E VG S M U N
d) Adequacy/effectiveness of quality control program and adherence to contract quality assurance requirements (without adverse effect on performance)	E VG S M U N
2. SCHEDULE/TIMELINESS OF PERFORMANCE:	
a) Compliance with contract delivery/completion schedules including any significant intermediate milestones. <i>(If liquidated damages were assessed or the schedule was not met, please address below)</i>	E VG S M U N
b) Rate the contractor's use of available resources to accomplish tasks identified in the contract	E VG S M U N
3. CUSTOMER SATISFACTION:	
a) To what extent were the end users satisfied with the project?	E VG S M U N
b) Contractor was reasonable and cooperative in dealing with your staff (including the ability to successfully resolve disagreements/disputes; responsiveness to administrative reports, businesslike and communication)	E VG S M U N
c) To what extent was the contractor cooperative, businesslike, and concerned with the interests of the customer?	E VG S M U N
d) Overall customer satisfaction	E VG S M U N
4. MANAGEMENT/PERSONNEL/LABOR	
a) Effectiveness of on-site management, including management of subcontractors, suppliers, materials, and/or labor force?	E VG S M U N
b) Ability to hire, apply, and retain a qualified workforce to this effort	E VG S M U N
c) Government Property Control	E VG S M U N
d) Knowledge/expertise demonstrated by contractor personnel	E VG S M U N
e) Utilization of Small Business concerns	E VG S M U N
f) Ability to simultaneously manage multiple projects with multiple disciplines	E VG S M U N
g) Ability to assimilate and incorporate changes in requirements and/or priority, including planning, execution and response to Government changes	E VG S M U N
h) Effectiveness of overall management (including ability to effectively lead, manage and control the program)	E VG S M U N
5. COST/FINANCIAL MANAGEMENT	
a) Ability to meet the terms and conditions within the contractually agreed price(s)?	E VG S M U N
b) Contractor proposed innovative alternative methods/processes that reduced cost, improved maintainability or other factors that benefited the client	E VG S M U N
c) If this is/was a Government cost type contract, please rate the Contractor's timeliness and accuracy in submitting monthly invoices with appropriate back-up documentation, monthly status reports/budget variance reports,	E VG S M U N

compliance with established budgets and avoidance of significant and/or unexplained variances (under runs or overruns)	
d) Is the Contractor's accounting system adequate for management and tracking of costs? <i>If no, please explain in Remarks section.</i>	Yes No
e) If this is/was a Government contract, has/was this contract been partially or completely terminated for default or convenience or are there any pending terminations? <i>Indicate if show cause or cure notices were issued, or any default action in comment section below.</i>	Yes No
f) Have there been any indications that the contractor has had any financial problems? <i>If yes, please explain below.</i>	Yes No
6. SAFETY/SECURITY	
a) To what extent was the contractor able to maintain an environment of safety, adhere to its approved safety plan, and respond to safety issues? (Includes: following the users rules, regulations, and requirements regarding housekeeping, safety, correction of noted deficiencies, etc.)	E VG S M U N
b) Contractor complied with all security requirements for the project and personnel security requirements.	E VG S M U N
7. GENERAL	
a) Ability to successfully respond to emergency and/or surge situations (including notifying COR, PM or Contracting Officer in a timely manner regarding urgent contractual issues).	E VG S M U N
b) Compliance with contractual terms/provisions (<i>explain if specific issues</i>)	E VG S M U N
c) Would you hire or work with this firm again? (<i>If no, please explain below</i>)	Yes No
d) In summary, provide an overall rating for the work performed by this contractor.	E VG S M U N

Please provide responses to the questions above (if applicable) and/or additional remarks. Furthermore, please provide a brief narrative addressing specific strengths, weaknesses, deficiencies, or other comments which may assist our office in evaluating performance risk (please attach additional pages if necessary):

B. Additional Past Performance Information Requirements

i) Safety Record: Contractor shall submit detailed information pertaining to reportable injuries with lost workdays or fatalities. For contracts with reportable injuries (lost workdays or fatalities) also include the total number of hours worked under the contract. Provide frequency rate.

ii) Performance Problems: Describe any performance problems on previous contracts and the actions taken to remedy performance shortcomings. Contractor shall identify and describe any pending, on going or completed litigation.

iii) Regulatory Issues: Describe any regulatory issues that affected previous contracts and how the issues were resolved.

a. Formatting and Other Restrictions.

This submission is limited to **ten (10)** 8-1/2"x11" double-sided pages.

4. Evaluation Criteria.

~~(1) The Government will evaluate past performance information to assess the level of performance confidence associated with the offeror's likelihood of success in performing the requirements stated in the solicitation and determine the quality and usefulness as it applies to performance confidence assessment. The recency and relevancy~~

of the information (as determined by the Government), the source of the information, context of the data, and general trends in the contractor's performance may be considered. The common aspects of relevancy include similarity of service/support, complexity, dollar value, contract type, and degree of subcontract/teaming.

(1) The past performance evaluation results in an assessment of the offeror's probability of meeting the solicitation requirements. The past performance evaluation considers each offeror's demonstrated recent and relevant record of performance in supplying products and services that meet the contract's requirements and the quality of that performance. One performance confidence assessment rating is assigned for each offeror after evaluating the offeror's recent past performance, focusing on performance that is relevant to the contract requirements. There are three aspects to the past performance evaluation. The first is to evaluate the recency of the offeror's past performance. The second is to determine how relevant a recent effort accomplished by the offeror is to the effort to be acquired through the source selection. The third aspect of the past performance evaluation is to establish the overall quality of the offeror's past performance. An assessment separate quality rating is not required; rather, the past performance confidence assessment rating is based on the offeror's overall record of recency, relevancy, and quality of performance.

The recency, relevancy, and quality of the information (as determined by the Government), the source of the information, context of the data, and general trends in the contractor's performance may be considered.

(2) This confidence assessment of past performance information is separate from the responsibility determination required under FAR Subpart 9.1.

(3) Past Performance relevancy ratings (reference 2.7. GENERAL TECHNICAL EVALUATION CRITERIA Past Performance Relevancy Ratings Table) will be used on submitted projects.

(4) For the purpose of the past performance evaluation, offerors shall be defined as business arrangements and relationships, such as Joint Venture participants, teaming partners, and key subcontractor(s). The past performance record of each firm in the business arrangement may be evaluated by the Government.

(5) The evaluation may take into consideration the offeror's quality; Schedule/Timeliness of Performance; Customer Satisfaction; Management/Personnel/Labor; Cost/Financial Management; and Safety/Security.

(6) Relevant performance recognition documents received within the last 2 years such as awards, award fee determinations, customer letters of commendation, and any other forms of performance recognition may result in a more favorable rating.

(7) In the case of an offeror without a record of recent, relevant past performance (and for which there is also no recent, relevant past performance information for its predecessor companies or key subcontractors), or for whom information on past performance is not available or cannot be verified, the offeror will not be evaluated favorably or unfavorably on past performance. For the purpose of this procurement, an "Unknown Confidence" rating is considered to be a neutral rating that is neither favorable nor unfavorable.

(8) The additional past performance requirements will be evaluated for risk and risk mitigation. The more unresolved reportable injuries (i.e., lost workdays and/or fatalities) the greater the risk to the Government which will adversely impact the performance confidence assessment. The more unresolved performance issues the greater the risk to the Government which will adversely impact the performance confidence assessment. The more unresolved regulatory issues that adversely impacted the contract the greater the risk to the Government which will adversely impact the past performance rating.

5.3.4 Tab 4 of the Technical Proposal: Factor 4 – Small Business Participation

1. All offerors (both large and small businesses) will be evaluated on the level of proposed participation of U.S. small businesses in the performance of acquisition (as small business prime offerors or small business subcontractors) relative to the objectives and goals established herein. The government will evaluate:

- a. The extent to which such firms, as defined in FAR [Part 19](#), are specifically identified in proposals;

- b. The extent of commitment to use such firms (and enforceable commitments will be considered more favorably than non-enforceable ones);
- c. Identification of the complexity and variety of the work small firms are to perform;
- d. The extent of participation of small business prime offerors and small business subcontractors in terms of the percentage of the value of the total acquisition; or alternatively may consider the percentage of 'planned subcontracting' dollars.
- e. The extent to which the offeror meets or exceeds the goals: Goals for this procurement are -- Small Business: **{22%}** of the total contract value; Small Disadvantaged Business (SDB): **{6%}** of the total contract value; Woman-Owned Small Business (WOSB): **{8%}** of the total contract value; Historically Underutilized Business Zone (HUBZone) Small Business: **{4%}** of the total contract value; Veteran Owned Small Business (VOSB): **{3%}** of the total contract value; Service Disabled Veteran Owned Small Business (SDVOSB): **{2%}** of the total contract value. Historically Black Colleges and Universities and Minority Institutions (HBCU/MI) **{0%}** (**Note**, for example, that a participation plan that reflects **{1%}** of the contract value for WOSB would also count towards the overall Small Business Goal; and percentages for SDVOSB also count towards VOSB).

b. Formatting and Other Restrictions

Small Business Participation Proposal (Sample Format)

All Offerors (**both large and small businesses**) are required to complete a Small Business Participation Proposal. Offerors should propose the level of participation of small businesses (as a small business prime and/or small business subcontractors) in the performance of the acquisition relative to the objectives/goals set forth in the evaluation of this area.

(a) Check the applicable size and categories for the **PRIME** offeror only -- Check all applicable boxes:

- ☐ Large Prime
- ☐ Historically Black Colleges or Universities and Minority Institutions (HBCU)

or

- ☐ Small Business Prime; also categorized as a
 - ☐ Small Disadvantaged Business (SDB)
 - ☐ Woman-Owned Small Business (WOSB)
 - ☐ Historically Underutilized Zone (HUB Zone) Small Business
 - ☐ Veteran Owned Small Business (VOSB)
 - ☐ Service Disabled Veteran Owned Small Business (SDVOSB)

(b) Submit the total combined percentage of work to be performed by both large and small businesses (include the percentage of work to be performed both by Prime and Subcontractors):

Example: If Prime proposes a price of \$1,000,000 (including all options), and small business(es) will provide \$250,000 in services/supplies as a prime or subcontractor, the % planned for small businesses is 25%; and 75% for large business equaling 100%.

Total Percentage planned for Large Business(es) _____ % = \$ _____

Total Percentage planned for Small Business(es) _____ % = \$ _____

100%

When combined, Large and Small Business

(c) Please indicate the total percentage of participation to be performed by each type of subcategory small business. The percentage of work performed by Small Businesses that qualify in multiple small business categories may be counted in each category:

Example: Victory Prop Mgt (WOSB and SDVOSB) performing 2%; and Williams Group (SDB, HubZ and WOSB) performing 3%. Results equate to: SDB 3%; HubZone 3%; WOSB 5%; SDVOSB 2%; VOSB 2%;. SDVOSBs are also VOSBs automatically; however VOSBs are not automatically SDVOSBs.

Small Disadvantaged Business	_____ %
HUB Zone Small Business	_____ %
Woman Owned Small Business	_____ %
Service Disabled Veteran Owned SB	_____ %
Veteran Owned Small Business	_____ %
HBCU/MI	_____ %

(d) List principle supplies/services to be performed by Small Businesses:

Example: If a Small Business qualifies also as a WOSB and a SDVOSB, and you can add them to each category below in which they qualify.

Name of Company	Identify Type of Service/Supply
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Small Business (SB):

_____	_____
_____	_____
_____	_____

Small Disadvantaged Business (SDB):

_____	_____
_____	_____
_____	_____

Women-Owned Small Business (WOSB):

_____	_____
_____	_____
_____	_____

Historically Underutilized Business Zone (HUB Zone):

_____	_____
_____	_____
_____	_____

Veteran Owned Small Business (VOSB):

Service Disabled Veteran Owned Small Business (SDVO):

Historically Black Colleges and Universities and Minority Institutions (HBCU/MI):

(e) Describe the extent of commitment to use small businesses (for example, what types of commitments if any are in place for this specific acquisition either – small business prime, written contract, verbal, enforceable, non-enforceable, joint venturing, mentor-protégé, etc.)

Additional Important Note for Other Than U.S. Small Businesses ONLY.**Small Business Subcontracting Plan is Required ([FAR 52.219-9](#))**

Separate from Small Business Participation Plan, other than U.S. Small Business offerors must also submit a subcontracting plan meeting the requirements of [FAR 52.219-9](#) and [DFARS 252.219-7003](#) (or [DFARS 252.219-7004](#) if the offeror has a comprehensive subcontracting plan). Other than U.S. Small Businesses must submit acceptable subcontracting plans to be eligible for award. Subcontracting Plans shall reflect and be consistent with the commitments offered in the Small Business Participation Plan.

Evaluation Criteria.

The proposal will be evaluated to the extent it meets the Government's subcontracting goals as stated in the solicitation and/or the reasonableness of offeror's explanation what said goal(s) cannot be met. Exceeding government subcontracting goals may result in higher ratings (proportional to the amount exceeding the goal). Items that increase the likelihood of meeting socioeconomic goals, such as identifying specific subcontractors or enforceable commitments (this list is not exhaustive) may result in higher ratings (proportional to the amount of risk reduced). However, failing to at least meet all of the subcontracting goals may limit the offeror from receiving higher than an "acceptable" rating.

The Government will use the following ratings in evaluating the **Small Business Participation** factor:

Color Rating	Adjectival Rating	Description
Blue	Outstanding	Proposal indicates an exceptional approach and understanding of the small business objectives.
Purple	Good	Proposal indicates a thorough approach and understanding of the small business objectives.
Green	Acceptable	Proposal indicates an adequate approach and understanding of small business objectives.
Yellow	Marginal	Proposal has not demonstrated an adequate approach and understanding of the small business objectives.
Red	Unacceptable	Proposal does not meet small business objectives.

(End of Summary of Changes)